DOCUMENT RESUME

ED 480 568 IR 058 754

TITLE	Library of Congress Cataloging Directorate Annual Report, Fiscal Year Ending September 30, 2001.
INSTITUTION	Library of Congress, Washington, DC. Cataloging Directorate.
PUB DATE	2001-00-00
NOTE	17p.
AVAILABLE FROM	For full text: http://www.loc.gov/catdir/catdirfy01.html/ .
PUB TYPE	Reports - Descriptive (141)
EDRS PRICE	EDRS Price MF01/PC01 Plus Postage.
DESCRIPTORS	Annual Reports; Bibliographic Records; *Cataloging; Federal Government; Library Personnel; *Library Services; *National Libraries; Public Agencies
IDENTIFIERS	*Library of Congress

ABSTRACT

This fiscal year 2001 annual report of the Library of Congress (LC) Cataloging Directorate covers the following topics: (1) Bicentennial Conference on Bibliographic Control for the New Millennium and LC Action Plan; (2) conversion of LC records in Chinese from Wade-Giles to pinyin romanization; (3) production and productivity; (4) cataloging efficiencies; (5) cooperative cataloging programs; (6) BEAT (Bibliographic Enrichment Activities Team/BeOnline and other electronic projects; (7) cataloging policy; Cataloging in Publication (CIP) and Electronic CIP (ECIP); (8) Dewey Decimal Classification; (9) accountability, staff development, and work environment; (10) support for the LC ILS and business process improvements; (11) leadership within LC; (12) scholarship and worldwide leadership; and (13) Office of the Director. (MES)

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Library of Congress Cataloging Directorate Annual Report, Fiscal Year Ending September 30, 2001

The Cataloging Directorate had an immensely successful year in fiscal 2001. To ensure that cataloging could meet the challenges of the 21st century, it accomplished the historic change from Wade-Giles to pinyin romanization of Chinese characters and hosted an international conference on bibliographic control of Internet resources. Cataloging production reached the highest level since fiscal 1998, demonstrating full recovery from the LC ILS implementation, and cooperative cataloging programs also flourished. During the year the directorate celebrated the 30th anniversary of the Cataloging in Publication program and the 125th anniversary of the Dewey Decimal Classification with colleagues throughout the library world. The directorate emphasized the importance of every staff member by strengthening individual accountability, enhancing career opportunities, and recognizing performance.

Bicentennial Conference on Bibliographic Control for the New Millennium and LC Action Plan

The Library of Congress Bicentennial Conference on Bibliographic Control for the New Millennium was the directorate's gift to the nation in honor of the Library's Bicentennial. The conference had two goals: to develop an overall strategy to address the challenges of improved access to Web resources through library catalogs and applications of metadata; and to identify attainable actions for achieving the objectives of the overall strategy. The director for cataloging, Beacher Wiggins, hosted the invitation-only conference, held November 15 through 17, 2000. Michael Gorman, dean of library services at California State University, Fresno, gave the keynote address, "From Card Catalogues to WebPACS: Celebrating Cataloging in the 20th Century." Next, conference plenary sessions considered nearly thirty conference papers in the following categories: The Library Catalog and the Web; Assessing Current Library Standards for Bibliographic Control and Web Access; Future Directions; Experimentation; and Exploring Partnerships. The 136 participants then divided into eleven breakout sessions, or Topical Discussion Groups (TDGs), to draw up recommendations for addressing eleven major challenges for bibliographic control in the digital age. The conference gala dinner in the Great Hall of the Thomas Jefferson Building on Thursday evening, November 16, featured Clifford Lynch, executive director of the Coalition for Networked Information, as the after-dinner speaker.

Planning for the conference had begun early in the previous fiscal year under the leadership of the Conference Organizing Team, chaired by Regional and Cooperative Cataloging Division (RCCD) chief John Byrum with members Cornelia Owens Goode, cooperative cataloging program specialist, Cooperative Cataloging Team; Bruce Johnson of the Library of Congress Cataloging Distribution Service (CDS); Judy Mansfield, chief of the Arts and Sciences Cataloging Division (ASCD); Susan

Morris, assistant to the director for cataloging; David Williamson, cataloging automation specialist for the Cataloging Directorate; and Ann Sandberg-Fox, an independent library consultant and trainer under contract to the Library. The conference received major financial support from netLibrary, EBSCO Information Services, and the Gale Group, with additional support from other library vendors and publishers: 3M Library Systems, Blackwell's, Blue Angel Technologies, Bowker, Brodart, Epixtech, Ex Libris, H.W. Wilson, Ingram Library Services, MARCIVE, OCLC, Inc., VTLS Inc., Wiley, The Library Corporation, and CDS. During the actual conference, more than fifty-five volunteers from throughout the Library helped to register participants, photocopy documents for their use, prepare conference rooms, or take notes at plenary and breakout sessions. Volunteers also produced a video, "How the Web Was Won," for the participants' entertainment.

Since the number of conference participants was strictly limited, the directorate made great efforts to share the proceedings as widely as possible. A special conference Web site included a Webcast of the actual conference and texts of all conference papers. Two electronic discussion groups, for participants and for general readers, provided opportunities to discuss the papers and conference recommendations. Senior cataloger Gene Kinnaly, Computer Files and Microforms Team, monitored and prepared a digest of comments from the 600 subscribers to the public electronic discussion group that was created for the conference. The full conference proceedings were edited by Ms. Sandberg-Fox and published by CDS in time for sales at the ALA Annual Conference in June.

The conference Topical Discussion Groups produced more than 150 recommendations concerning bibliographic control, primarily of electronic resources. These were edited, circulated for comment from all conference participants via email, and mounted on the conference Web site. During the winter of 2001, Mr. Wiggins, Ms. Mansfield, Mr. Byrum, and Ms. Morris developed "Bibliographic Control of Web Resources: A Library of Congress Action Plan," based on the TDG recommendations. The action plan contained six broad objectives: 1) Increase the availability of standard records for selected electronic resources; 2) Enhance the access to and display of records for selected Web resources across multiple systems; 3) Work collaboratively with metadata standards communities to improve bibliographic control of selected Web resources; 4) Develop automated tools for harvesting and maintaining metadata to improve bibliographic control of selected Web resources; 5) Provide appropriate training/continuing education to improve bibliographic control of selected Web resources; 6) Support research and development on emerging metadata standards and address the challenges of interoperability to improve bibliographic control of selected Web resources.

During spring and summer 2001, the director and other LC representatives presented the action plan in many venues, including the American Library Association (ALA) Annual Conference and the Association of Research Libraries conference. The response from the library and vendor communities was overwhelmingly positive. A number of library organizations agreed to collaborate with the Library on various tasks in the plan. Notably, the ALA Reference and User Services Association and the Library co-sponsored the LC/RUSA Forum on Digital Reference and Bibliographic Control at the ALA 2001 Annual Conference. This forum brought together technical services and reference librarians to discuss how the action plan could ensure that cataloging of electronic resources served reference needs.

Pinyin Conversion

After three years of planning and preparatory work, Pinyin Day 1 occurred on October 1, 2000. On that date, the Library of Congress and other American libraries began using pinyin as the standard romanization scheme for Chinese characters in their catalogs. The change to pinyin from the outmoded Wade-Giles romanization meant that American libraries were now using the modern romanization in standard use throughout the world. The change was announced jointly by the Library, OCLC and the Research Libraries Group (RLG).

The Pinyin Task Group, chaired by Philip Melzer, Korean-Chinese Team leader, continued through the year to coordinate efforts with RLG and OCLC to accomplish the conversion and to keep the library community informed of the status of the project. Library staff reviewed numerous test runs of the utilities' conversion programs, reported back the results of the tests, and adjusted the conversion specifications when necessary. RLG completed conversion of 172,373 LC Chinese bibliographic records in January and then proceeded to convert approximately 2,000,000 other Chinese bibliographic records in RLIN. OCLC converted approximately 8,900 CONSER Chinese records in May, and then some 760,000 other Chinese bibliographic records in the WorldCat database. Cataloging Policy and Support Office (CPSO) staff completed the conversion of subject authority records.

Cataloging Directorate staff worked with many other parts of the Library to test, load and distribute converted authority and bibliographic (including CONSER) records. In a significant contribution, JACKPHY automated operations coordinator Paul Maher prepared preprocessing specifications and helped facilitate the loading of the Library's converted RLIN records into the Library's database. Staff of the Chinese and Korean/Chinese teams and CPSO reviewed more than 100,000 converted authority records and made needed corrections to more than 6,000 of them. In addition, sixteen librarians at twelve NACO libraries assisted with the cleanup of 8,400 undifferentiated (non-unique) Chinese personal name authority records under the coordination of Cathy Yang of the Cooperative Cataloging Team. By the end of the year, this part of the project was mostly completed. Access points on more than 3,000 converted Chinese bibliographic records had been corrected by the end of the year.

Production and Productivity

The Cataloging Directorate and the Serial Record Division (SRD) together cataloged 270,801 bibliographic volumes on 235,565 bibliographic records and cleared an additional 67,837 items from other directorates' arrearages by means of 36,139 inventory-level records. Full and core-level cataloging accounted for 176,636 records, or three-quarters of all production; 4,073 new collection-level cataloging records, 23,204 minimal-level cataloging (MLC) records, and 31,652 copy-cataloged records were also completed. These figures show a dramatic increase in production over fiscal year 2000, when 224,544 bibliographic volumes were cataloged on 200,657 bibliographic records and an additional 62,900 items were cleared from other directorates' arrearages by means of 50,275 inventory-level records. Total production of full and core-level original cataloging increased by more than 15% even as the number of hours worked in this category declined by 1.02%.

In the area of authority work, the Cataloging Directorate and SRD created 91,880 new name authorities, 8,279 new series authorities, 6,933 new subject authorities, and 1,635 new LC Classification (LCC) proposals in fiscal 2001. The number of subject authority records modified was 12,530, reflecting the additional workload generated by the pinyin conversion. Production of new name authorities increased 5.6% over the 86,992 new name authorities created in fiscal 2000. (The latter figure includes 6,926 machine-derived authorities; if these are discounted, the actual increase in name authorities created by LC catalogers was almost 15%.) Production of new series authorities increased 22.25% from the previous fiscal year's figure of 6,772, while new LCC number proposals increased nearly five percent. The directorate assigned 108,669 Dewey numbers to monographs, an increase of 6.41% over fiscal 2000, and verified a total of 48,276 Cataloging in Publication records, an increase of 22.98% over the previous year; the CIP Division Cataloging Team alone increased its production of CIP verification by 27.89%. The cost of the average monograph record, including Dewey classification and authority work, increased less than three-quarters of one percent, to $122.60 from $121.70 the previous year, despite higher overhead costs and the mandated federal salary increase of 2.7% in January--another indication of cataloging staff's improved productivity.

Throughput time for CIP galleys in fiscal 2001 averaged 12.2 working days, a significant improvement from the average 15-day turnaround of the previous year although still a cause for concern; and 75% of galleys were completed within fourteen days. Furthermore, divisions were able to complete 95.4% of current new receipts, and one, the Special Materials Cataloging Division (SMCD), completed 4,270 more items than it received during the year. The History and Literature Cataloging Division (HLCD) and ASCD achieved their highest production levels since they were established in 1992. There were numerous highlights throughout the cataloging divisions: the NUCMC (National Union Catalog of Manuscript Collections) Team, which creates most of the collection-level cataloging records produced by the directorate, increased its production for the fifth year in a row, to 3,723 bibliographic records, an increase of 31.46% from fiscal 2000. The Art and Architecture Team I cleared 5,874 titles, a 79.5% increase over fiscal 2000, and increased its productivity from 0.29 regular titles per hour in fiscal 2000 to 0.41 titles per hour in fiscal 2001. The Middle East/North Africa Team cleared 7,396 current and arrearage items, nearly double its completions the previous year. In HLCD, the subject cataloging backlogs on history of Africa south of the Sahara were eliminated. The Children's Literature Team was able to resume providing summaries for juvenile nonfiction on May 1, having cleared its buildup of CIP cataloging during a one-year suspension of summaries for nonfiction. The Germanic and Scandinavian Languages Team cleared 7,445 items, a 27% increase over the previous year. The Religion, Philosophy, and Psychology Team completed 20,069 items, an increase of 29% over fiscal 2000.

The directorate's arrearage of nonrare books stood at 128,750 volumes at the start of the year, peaked at 152,639 volumes in February, and dropped to 145,089 by the end of September. The arrearage of Turkish materials stored in the Adams Building was eliminated. In rare book arrearage processing, cataloging of the Stone and Kimball Collection (182 titles of late 19th- and early 20th-century publications from this Chicago press) was completed. The book portion of the Shapiro Bruce Rogers Collection, approximately 250 titles, was also completely cataloged. Except for serials and bound-with titles, the American Imprints Collection of 16,910 volumes of U.S. publications from 1640 to 1800 was fully processed.

Processing of another Americana collection, Wagner-Camp, was also completed; it consists of 451 titles on the American West that were selected from Henry Wagner's bibliography, The Plains and the Rockies (originally published in 1921). The Clarence Darrow Collection was completely processed. The Drake Boston Collection of 19th-century pamphlets on local Boston history (827 volumes) was fully cataloged/revised. The Music and Sound Recordings III Team processed 68,459 items for the Recorded Sound Section and Moving Images Section of the Motion Picture, Broadcasting, and Recorded Sound Division.

Cataloging staff accomplished these impressive gains in production despite continuing drains on staffing resources. The directorate ended the year with 542 full-time equivalent employees. The number of catalogers continued to decrease, as sixteen senior catalogers retired, five were promoted to fill team leader vacancies, one became the directorate's first automated operations coordinator for JACKPHY languages, two were used throughout the year to serve temporary promotions to acting team leader positions, and one took an extended leave of absence for research. In addition, three catalogers resigned during the year and two were reassigned to reference positions. Sharon McCary, a cooperative cataloger who had also worked in the History and Literature Division, died in December. The directorate thus lost thirty-one catalogers and was able to hire only six, plus a longterm detailee, for a net loss of twenty-four. In addition, two team leaders, one editor in the Subject Heading Editorial Team, and six technicians retired, while seven new technicians joined the directorate, and the Cataloging in Publication (CIP) Division gained an electronic programs coordinator. The net loss of twenty-four catalogers represents a huge reduction in cataloging staff power and makes the directorate's achievements during the year all the more impressive.

Cataloging Efficiencies

The directorate sought innovations in workflows in order to maintain production levels and control costs. It resumed the very successful practice of designating March and September as production-only months, during which staff time was freed to concentrate on cataloging production. In specific units, the Hebraica Team worked to streamline the creation of initial bibliographic control (IBC) records for Hebraica by working on a project to bring Israeli book vendor records into the RLIN database. The Music and Sound Recordings Teams adopted a new workflow for processing noncommercial compact discs.

One of the most successful innovations was the use of an automated cataloging copy matching service. In January the director asked ASCD to establish a prototype process and workflow for automatically obtaining cataloging copy from the bibliographic utilities and completing the processing within the division. Marcadia, operated jointly by RLG and MARC Link, Inc., was identified as the only vendor of suitable automated copy cataloging services. The ASCD automated operations coordinator and an ASCD team leader worked with the Automation Planning and Liaison Office and CPSO to develop a profile for acceptable records and to test and analyze searching results returned by Marcadia. By the end of the fiscal year, more than 9,000 records had been searched under contract with Marcadia, with an overall match rate of 28%. Copy cataloging was completed for 1,695 titles using Marcadia records.

Before the Marcadia match records were received, ASCD experimented during April with a "Virtual Team" of volunteers from several ASCD teams who worked approximately half-time to complete a backlog of already existing copy cataloging in the Medical Sciences and Biotechnology Team. The Virtual Team was so successful that ASCD adapted this model for processing the Marcadia matches. The Marcadia Copy Cataloging Team (MCCT) was established as a SWAT team, with a separate STARS database to permit comparisons of production and throughput for Marcadia-assisted copy cataloging. In six weeks in August and September, MCCT completed 1,653 titles. The MCCT productivity rate was 1.57 titles per hour, nearly double the copy cataloging rate for ASCD as a whole during the same period.

An important component of the Marcadia processing effort was the use of Encoding Level 7 copy cataloging procedures, in which name and series authority work is done according to MLC guidelines and LC Subject Headings present in the copied record are accepted with the assurance that they were constructed according to current practice. (Specialists in CPSO established any subject headings that were necessary to support the Marcadia records completed by the MCCT.) The resulting bibliographic record is assigned an encoding level of 7 so that it will not displace the original member record in the OCLC database. The Social Sciences Cataloging Division (SSCD) also produced some Encoding Level 7 copy cataloging this year.

Effective September 5, the Cataloging Management Team gave all cataloging teams the discretion to perform regular MLC for any work that had been on hand longer than two years, calculated from the date the IBC record was entered in the LC Database (or from the accession date stamped in the item if there was no IBC record). Teams had discretion to perform enhanced MLC for materials that had been on hand for more than one year. In all instances, materials were first to be searched for copy on OCLC or RLIN, and copy cataloging was to be preferred to either enhanced or regular MLC. Like Encoding Level 7 copy cataloging, the guidelines were intended to assist teams in completing the buildup of work on hand, recognizing that copy cataloging is preferable to MLC and that Library of Congress professional catalogers should concentrate on original cataloging.

Cooperative Cataloging Programs

The chief of RCCD and the Cooperative Cataloging Team continued to serve as the secretariat to the Program for Cooperative Cataloging (PCC). PCC member libraries created 143,031 new name authorities compared to 128,160 the previous year; 9,410 new series authorities, an increase over the 8,914 contributed in fiscal 2000; 2,603 subject authorities, a slight decrease from 2,791 in fiscal 2000; and 2,043 LCC proposals, more than double the 979 contributed in fiscal 2000. Original CONSER cataloging totaled 14,445 records for serials in contrast to the 19,744 produced in fiscal 2000. BIBCO libraries created 73,115 bibliographic records for monographs, an increase of 17% over the 62,423 monograph records created in fiscal 2000.

An indication of the value of the PCC is the fact that more than one third (37.5%) of the new additions to the Library of Congress Subject Headings (LCSH) in fiscal 2001 was submitted through SACO, the subject authority component of the PCC. However, analysis at the start of fiscal 2001 indicated that the

Library was adapting less than seven percent of the annual BIBCO contributions for its own catalog. The director worked throughout the year to increase the Library's use of BIBCO records, which offer a large cost savings and are cataloged to an international standard with full authority support for access points.

Recruitment and training continued at a lively pace, as the NACO name authority component of the PCC added 42 new participating institutions and provided training for 175 individual librarians. The African American Subject Heading Funnel Project expanded to include thirteen institutions. The first edition of the SACO Participants' Manual was made available in print, on Cataloger's Desktop, and on the SACO Website in PDF format, in keeping with a new policy of making PCC documentation available in all three ways to facilitate participation.

BEAT/BeOnline and Other Electronic Projects

The Bibliographic Enrichment Activities Team (BEAT) continued several major projects that used electronic capabilities to enrich bibliographic data. BEAT pursued three separate projects aimed at increasing inclusion of electronic tables of contents (TOC) in bibliographic records. In the continuation of an ECIP TOC project initiated several years ago, publishers send the Library electronic versions of their publications and as part of the cataloging process staff incorporate TOC information in the actual bibliographic record. In fiscal 2001, of the 7,468 ECIP records produced, only 1,300 included TOC data. The directorate worked to increase this rate to nearly 30% of ECIP records produced in the final quarter of the year. In the Digital TOC project (DTOC), hot links enable users to move back and forth between catalog records and TOC data on a Web server. In fiscal 2001 the costs of provided DTOC were greatly reduced as the result of more effective automation equipment and programming. With these changes, production, which had been suspended, resumed and some 500 records were created for the year, bringing the total output for the DTOC program to 2,700.

In a third effort, an ONIX-TOC project began this year. ONIX is a means of representing book industry product information that some publishers are using to communicate data electronically. The data often include embedded TOC. The directorate's cataloging automation specialist was able to obtain more than 17,000 ONIX-encoded records from a single publisher; of these, just over 10,000 contained useful TOC data. He then wrote programs to extract these TOC and place them on the Web with corresponding and reciprocal links to the Library's online catalog records.

The BECites+/Area Portals/Subject Pathfinders initiative, in coordination with the Library's Humanities and Social Sciences Division, enhanced online bibliographies with hot links to online files for the tables of contents, indexes, and source citations of works listed in the bibliographies, along with new sections on Internet resources related to their topics. The first online bibliographies to be enhanced covered immigrant arrivals, Thomas Jefferson, and small business and entrepreneurship.

The Additional Analytics Access project began in May. In this project URLs are systematically added to serial bibliographic records and series authority records for social science monographic series, providing hot links to the entire electronic versions.

The Computer Files & Microforms Team leader, Allene Hayes, served on the Library's MINERVA Team, which conducted an experimental project developed to identify, select, collect and preserve open-access materials from the World Wide Web. The project captured historic Web material relating to the presidential election of 2000 and the terrorist attacks of September 2001.

The directorate began to expand the cataloging of Internet resources, first begun as the BeOnline+ project, throughout the cataloging teams. The training proposal developed in SMCD called for two senior catalogers from each cataloging division to be detailed to the Computer Files & Microforms Team to learn descriptive cataloging of electronic resources; during this fiscal year details were completed by catalogers Yann Sheu Leu (RCCD) and Miroslava Nezar (SSCD). The training plan also provided for orientation to subject cataloging of electronic resources for all catalogers; these orientation sessions were offered beginning in January. The orientation by Allene Hayes and senior cataloging policy specialist Dave Reser was developed into the course Orientation to Electronic Resources for Subject Catalogers, now offered by the Technical Processing Automation and Instruction Office (TPAIO).

The directorate continued to expand its use of the World Wide Web for communications, particularly with individuals and institutions outside the Library. The directorate home page itself enjoyed an average rate of approximately 160,000 visits per year in fiscal 2001, and the LC Subject Headings Weekly List recorded 232,328 visits over the past four years. The DTOC produced by BEAT have been visited more than 480,000 times in less than four years. The Web page for the Bicentennial Conference on Bibliographic Control for the New Millennium continued to be regularly consulted, with 32,136 visits by the end of the fiscal year. The PCC Web site also is popular, with annual visits in the range of 22,000. The directorate's electronic cataloging journal, LCCN, is also available on the directorate Web site; in addition, it has approximately 2,600 email subscribers located in 45 countries.

The directorate's staff home page has had 77,237 visits since September 1997. During fiscal 2001, a new Forms for Printing page, an online directory of processing forms, and a listing of new telephone numbers for Cataloging Directorate staff were added. These could be used by all units in the Library.

The Library also reached agreement with OCLC, Inc., in February regarding NUCMC's proposal for a gateway, accessible from the NUCMC Web site, to OCLC's manuscript and archival cataloging. The gateway became operational at the end of April and like the similar RLIN gateway was accessible from the NUCMC home page, resulting in a "virtual" NUCMC that provides access to over 750,000 catalog records in the two bibliographic utilities.

Cataloging Policy

The ten-year project to convert the LC Classification schedules to the MARC 21 Classification Format and review the converted data for accuracy was completed this year. It involved the entire staff of the CPSO Classification Editorial Team, as well as most of the subject cataloging policy specialists. Online conversion resulted in publication of new editions of all of the printed schedules. The last few of these

schedules will be available from CDS within the first few months of the next fiscal year. In conjunction with the conversion project, a revision of the LC Classification Outline was also published and is available online on the CPSO public Web page.

The chief of CPSO is the Library's official representative to the Joint Steering Committee for Revision of AACR (JSC). JSC meetings recently began to occur more frequently, and the amount of time CPSO staff spent on JSC issues increased as a result. Staff in CPSO prepared discussion papers on AACR2's coverage of multipart items; inclusion of principles for authority records in AACR; and possible reorganization of AACR2, Part I, according to International Standard Bibliographic Description (ISBD) areas. They also produced the clean copy of the revised Chapter 12, Continuing Resources.

The chiefs of CPSO and RCCD continued to participate in the creation and review of the various ISBD documents published by IFLA, the International Federation of Library Associations and Institutions.

In November, approximately 600 subject headings that included the terms "Afro-Americans" and "Afro-American..." were changed to "African Americans" and "African American...." Effective December 1st, Library of Congress catalogers began assigning only the new forms as subject headings in current bibliographic records. CPSO began projects to update bibliographic records containing the old forms. Meanwhile, subject headings in individual bibliographic records are being changed on a case-by-case basis as the records are updated for other reasons.

Instructions in the Subject Cataloging Manual: Subject Headings were revised to provide for art cataloging simplification and for increased access to individual works of fiction. More than 2,100 subject subdivision authority records were created and distributed to control the approximately 3,100 free-floating subdivisions in LCSH. The project to recode instances of form subdivisions in existing subject authority records from subfield code $x to $v was also about two-thirds complete.

Cataloging in Publication (CIP) and Electronic CIP (ECIP)

Fiscal year 2001 marked the 30th anniversary of the CIP program, celebrated with a reception hosted by Quality Books, Inc., on June 15, 2001, during the ALA Annual Conference, and a reception for Library staff in the Mumford Room on July 19. The Council of the American Library Association also adopted a resolution on the occasion of the CIP program's 30th anniversary to recognize the joint effort of publishers and CIP staff, which has saved libraries millions of dollars over the years. Other markers of the 30th anniversary were an email bulletin board for congratulatory messages from CIP users; a 30th anniversary poster distributed at the Library exhibit booth at ALA Annual Conference; and publication of The Cataloging in Publication Program: A Brief History 1971-2001, written by Charles Fenly, assistant chief of the CIP Division.

During the fiscal year, the ECIP program expanded to include all directorate staff who work on CIP galleys. A special incentive awards ceremony on November 14 honored the 101 staff members who worked on the initial ECIP implementation.

The Electronic Preassigned Card Number program was converted to a Web browser-based system that incorporates the IBC record creation function, which previously was an independent client-based module that had to be loaded on each publisher liaison's workstation in the CIP Division. At year's end, the ECIP program included 1,067 publishers (78% more than at the end of fiscal 2000), and 10,501 publishers had established accounts for the EPCN program (a 58% increase over fiscal 2000). The division's goal is to achieve 100% coverage of PCN assignments via EPCN, in order to eliminate the labor and mailing costs of paper assignments. To this end, at the close of this fiscal year, the division implemented a plan to terminate the conventional PCN program effective January 2002.

Publishers requested CIP data for 54,820 titles, a four percent decrease from last year but the second highest total in the program's history. The staff of the CIP Division obtained 71,963 books in compliance with CIP and PCN program obligations with an estimated value of $3,788,852. Despite staffing shortages which continued throughout the year, the division searched 156,054 titles in the LC ILS, including approximately 140,000 Copyright receipts, and created IBC records for 20,204 titles, a 61% increase over last year. The CIP Cataloging Team and Support Team staff nearly doubled the number of OCLC records they imported, to 9,808, compared to 5,080 in fiscal 2000. This increased effort contributed to a 40% increase in the amount of copy cataloging that the cataloging divisions were able to perform during the year.

At the close of the fiscal year, the director approved the management plan for the New Books Project. This significant new initiative will enrich catalog records for forthcoming books with a wide range of information, including tables of contents and images of book jackets. It will also include a capability for catalog users to reserve forthcoming titles at local libraries that participate in the New Books local partnership program. The CIP Division chief and its coordinator of electronic programs demonstrated a New Books prototype at both ALA Midwinter Meeting and Annual Conference, at the Coalition for Networked Information Spring Task Force Meeting on April 9, and during the IFLA General Conference in Boston in August.

Dewey

Editorial work on Dewey Decimal Classification (DDC) Edition 22 and on Abridged Edition 14 continued on track to meet the targets set for their publication in 2003 and 2004. Two meetings of the Dewey Editorial Policy Committee took place at the Library, Meeting 115 on November 29-December 1 and Meeting 116 on May 9-11. The Decimal Classification Division staff worked intensively to prepare and mail voluminous exhibits in advance of each meeting as well as to compile minutes and other clean-up work after each meeting concluded. In late fall the assistant editors worked on updating the DDC Edition 21 database for the forthcoming Dewey for Windows™ and WebDewey™ releases; on January 1, 2001, the division's classifiers were given access to WebDewey™; in spring the editors worked on closing the DDC 21 database for the May 8 WebDewey™ update. The assistant editors, particularly Winton Matthews, worked on the OCLC Forest Press publication People, Places, and Things for publication early the next fiscal year. This publication provided Dewey numbers for more than 50,000 of

the most frequently used *Library of Congress Subject Headings*.

Beginning in January, the division chief worked with the Office of General Counsel, the Financial Services Directorate, the Office of Inspector General, and the Library Services Operations Directorate to prepare for the shift of OCLC Forest Press support from "gift fund" to "revolving fund" status, which would take place on October 1, the beginning of the next fiscal year.

On August 21, nearly 200 IFLA delegates gathered to commemorate the 125th anniversary of the publication of the Dewey Decimal Classification in 1876. Attendees included national librarians, translation partners, and officials from IFLA and other associations. After OCLC Forest Press Executive Director and DDC Editor in Chief Joan Mitchell's opening remarks about Dewey's past and present, Winston Tabb, the Library's Associate Librarian for Library Services, spoke about the special relationship between the Library of Congress and Dewey. Jay Jordan, President and chief executive officer of OCLC, closed with observations on Dewey's future and a toast to 125 years of the DDC.

Accountability, Staff Development, and Work Environment

The directorate significantly improved the work environment for its staff during the year. The director requested Information Technology Services to provide individual telephone instruments and voice mail accounts, as well as training in their appropriate use, in the autumn. During the year HLCD and SSCD received ergonomic upgrades for selected work cubicles, including new desks, wall-hung work surfaces, corner work surfaces, and in some cases additional shelving. In the case of SSCD, the ergonomic upgrades were carried out in conjunction with installation of new carpeting and wiring. These furniture and furnishings upgrades came at the cost of significant work interruptions and additional workloads, particularly for the division automated operations coordinators who, with assistance from other staff and team leaders, had to prepare site plans, arrange for discard of surplus equipment, and reinstall workstations and printers after the upgrades were performed by contractors. The ergonomic improvements will benefit the staff for years to come, however.

As part of its ongoing effort to strengthen individual accountability, the directorate began using the LC ILS to record the cataloging work of team members. The directorate worked with the Network Development and MARC Standards Office and the ILS Program Office to define subfields in local field 955 in which staff could record the activities they performed on each bibliographic record. After the director discussed the accountability subfields with staff in division meetings, labor-management consultative groups, and other settings, use of the subfields commenced on June 29.

Throughout the year the directorate worked to make available the opportunity for interested and qualified staff members to work toward further promotions. In the CIP Division, sixteen staff members qualified for promotions that were made possible as a result of the division's reorganization in fiscal 1999. In fiscal 2000 and 2001, the directorate sought to add a rung at the top of the career ladders for cataloging technicians, catalogers, secretaries, and team leaders. At the director's request, a committee chaired by Susan Vita, chief of SMCD, developed new positions for a GS-9 cataloging technician and GS-13

cataloger. This work involved reviewing existing cataloger and technician position descriptions and drafting new position descriptions, classification factors, and promotion plan criteria. The new GS-9 technician position was certified in May; even before that time, the director had charged each team leader with meeting with all technicians on the team to discuss interest in the promotion and develop a plan for each interested technician to work toward promotion. The GS-13 cataloging position description had to be input to the new AVUE personnel management system that the Library implemented in agreement with the LC Professional Guild and the Cook Class. Team leaders and the chief and assistant chief of SMCD reviewed all the cataloger position descriptions for input to AVUE. At the end of the fiscal year, certification of the new GS-13 position was expected but still pending. The new GS-9 and GS-13 positions were part of a total review of directorate positions that would continue next fiscal year.

Support for the LC ILS and Business Process Improvements

Barbara Tillett, chief of CPSO, served for the past three years as the ILS Program Director. On June 5, she was honored with the Arthur S. Flemming Award for "outstanding leadership and extraordinary commitment to the acquisition and installation of an Integrated Library System" at LC. This prestigious award is reserved for Federal employees with less than fifteen years of government service who have made outstanding contributions. Dr. Tillett returned to her position in CPSO on August 6.

Directorate staff, particularly in CPSO, worked with the ILS Program Office this year to activate hotlinks from 856 holdings record fields in the OPAC; assist with planning for serials processing; and develop check-in procedures for serials in monographic series classified as collections. They served on the "Data Cops" subteam investigating MARC record validation, Data Dictionaries subteam, Data Policy Group, and ILS Reference Collection Team. The assistant chiefs of RCCD and CPSO and a technical advisor in HLCD were active in the data transfer from the sheet shelflist to the main card shelflist and in LC ILS inventory projects.

The directorate introduced business process improvements, or BPIs, to take advantage of the potential of the LC ILS. In December, the director confirmed that reference and other staff needing an in-process item should determine the item's position in the workstream from the 955 field of the bibliographic record and contact the appropriate cataloging team directly to obtain the item. This BPI eliminated a workload for the Collections Management Division's Special Search Section and reduced the time such items spend removed from the processing workstream, improving throughput time and collections security. The directorate resumed labeling of hardcover books in March, using the Spine Labeling program developed by APLO to run with the Voyager integrated library system software. This BPI significantly improved security of hardcover in-process materials and overall processing throughput time, helped to free badly needed space in the Binding and Collections Care Division (BCCD), and reduced the number of book trucks needed in BCCD and the cataloging divisions.

Leadership Within the Library of Congress

Cataloging Directorate personnel enriched the entire Library by their talents and enthusiasm. The chief of

SMCD served on the chiefs' advisory committee that provided input to the upcoming reorganization of the Operations Directorate. An ASCD team leader represented Library Services on the Facilitative Leadership Implementation Steering Committee. The chief of ASCD was named chair of the Library Services Coordinating Team for Copyright Office Business Process Redesign in the last quarter of the year. An HLCD team leader was detailed to the Office of the Librarian for two months to assist in planning the National Book Festival, which took place on September 8; in addition, more than a dozen directorate staff members volunteered their time that Saturday as guides, author escorts, and translators. A cataloger on the Romance Team, HLCD, served as president of the Library of Congress Professional Association.

Cataloging staff assisted other units of the Library in countless ways. Many served as trainers for TPAIO courses or provided training in conjunction with national conferences or at the invitation of other libraries; several also worked on course development. A cataloger substituted for the selection officer, several served as recommending officers for Scandinavian, Baltic, and other languages, and others provided reference and selection assistance for the Asian Division. A team leader served on the board of the new Collaborative Digital Reference Service initiated by the Library with dozens of other institutions. An SSCD cataloger helped the American Folklife Center design templates to make optimal use of the LC ILS cataloging module, and three others from SSCD worked on cataloging the Prokudin-Gorski Archive for the Prints and Photographs Division. At the request of the ILS Program Office, an automated operations coordinator was responsible for coordinating testing of Windows 2000, and another oversaw specifications for JACKPHY loads. Finally, the director and a team leader served on the Library's negotiating team for a new master contract with AFSCME 2910, while two catalogers served on the negotiating team for Labor, one as chief negotiator.

Scholarship and Worldwide Leadership

Directorate personnel contributed in an astonishing array of scholarly settings. An SSCD cataloger participated in the grant review process for "Teaching American History" by the U.S. Dept. of Education. Cataloger Emanuel Magro successfully defended his Ph. D. dissertation at Catholic University of America. Roberta Dougherty was president of the Middle East Librarians Association. Other staff served on the Journal of the Ukrainian Medical Association of North America Editorial Board and were active in the Association for Advancement of Slavic Studies, Art Libraries Society, Social Science History Association and the Popular Culture Association.

Staff met with visitors from twenty-two foreign countries, from Argentina to Vietnam. A cataloger on the Physical Sciences Team demonstrated cataloging on the LC ILS to the Clerk of the Senate Appropriations Committee.

Office of the Director

Director for Cataloging Beacher Wiggins served as host of the Bicentennial Conference on Bibliographic Control for the New Millennium and chaired the working group that developed the resulting action plan.

He led the Library's negotiating team for a new collective bargaining agreement with the professional Guild. He was steward of the arrearage reduction goal in the Library Services annual program performance plan (AP3) and co-chaired the annual arrearage summit. He was a Facilitative Leadership instructor and the primary Library Services liaison with OCLC, Inc., and RLIN. He began a term on the American Library Association Council, continued various other ALA activities, and became the LC representative to IFLA's Section on Bibliography.

Susan Morris, assistant to the director, served on the Bicentennial Conference on Bibliographic Control for the New Millennium Conference Organizing Team, oversaw note-taking and publicity for the conference, and served on the working group that developed "Bibliographic Control of Web Resources." She prepared minutes of the Cataloging Management Team meetings and meetings of other groups; compiled the annual reports of the directorate and Library Services; planned staff briefings and prepared briefing documents before and after ALA meetings; coordinated the LC Work Experience program at ALA Midwinter Meeting; coordinated processing of the International Gifts to the Nation; and served on the Kluge Center Staff Advisory Group. She was a reporter and facilitative leadership columnist for Library Services News.

David Williamson, the directorate's cataloging automation specialist, served on the Bicentennial Conference on Bibliographic Control for the New Millennium Conference Organizing Team and maintained the Web site and two electronic discussion groups ("listservs") for the conference. He developed software to assist in building files of LC ILS records for Marcadia processing; led the directorate's contributions to the service unit review of frontline automation support; chaired the STARS Replacement Committee; and advised the National Library of Medicine in its ECIP participation. To support individual accountability, he developed macros to help staff record their activities in the catalog records as well as a database that allowed supervisors to review the resulting statistics. He was a member of the PCC Standing Committee on Automation Task Group on Automated Classification and served as the Library and Information Technology Association's liaison to the Committee on Cataloging: Description and Access, a standing committee of ALA's Association for Library Collections and Technical Services. Both Ms. Morris and Mr. Williamson were members of the Cataloging Management Team, the LCCN Editorial Advisory Board, and the LC ILS Cataloging Technical Group. During the year two technicians, Tanya Brown and Camilla Williams, served details to the office of the director to assist Mr. Williamson with various automation activities.

Cataloging Reference Librarian Harold S. Boyd maintained the Cataloging Reference Collection and led the orientation sessions for new cataloging reference specialists. In addition, he chaired the Steering Committee for the collection.

Barbara Williams combined the duties of executive secretary to the director for cataloging and administrative officer in SMCD for the first half of the fiscal year. This included overseeing time and attendance reporting for SMCD. At the end of March, Ms. Williams was selected as SMCD's permanent full-time administrative officer. Darlene Foster, secretary to the chief of CPSO, was detailed to the position of executive secretary to the director until August. For the remainder of the fiscal year, Shirley Gorham, administrative assistant to the director for acquisitions, also carried out secretarial duties for the

director for cataloging. Mr. Wiggins, Ms. Williams, and Ms. Gorham served as subject matter experts for the job analysis of the position of executive secretary, an essential step in the process of filling the vacancy, which continued into the next fiscal year.

Conclusion

Throughout the year, the Cataloging Directorate practiced facilitative leadership in the myriad activities of its eight divisions. Two of the cardinal principles of facilitative leadership are seeking maximum appropriate involvement and celebrating accomplishment. From this report, it is clear that the directorate relied on the maximum involvement of every staff member to plan, execute, and assess a huge list of tasks and ambitious new initiatives.

The directorate celebrated its accomplishments in many ways during the year, from CIP and Dewey anniversary receptions at the ALA and IFLA conferences, through incentive and cash awards to staff who assisted with the ECIP implementation and pinyin conversion, to dozens of outstanding performance ratings, On-the-Spot awards, and incentive awards to recognize the special contributions of individuals. Even though the end of the year was clouded by the terrorist attacks of September 11, the directorate could be confident that it was well prepared to meet future challenges. This report serves as yet another celebration of a year of triumphant accomplishment by the entire Cataloging Directorate.

Beacher J.E. Wiggins
Director for Cataloging
Library of Congress
Cataloging Directorate

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